

DEPARTMENT OF INSURANCE  
PUBLIC SERVICES GROUP  
AGENT SERVICES DIVISION

Program Records Retention and Disposition Schedule

The Program Records Retention and Disposition Schedule and retention periods governing the records series listed herein are hereby approved. In accordance with the provisions of Chapters 121 and 132 of the General Statutes of North Carolina, it is agreed that the records of the

AGENT SERVICES DIVISION

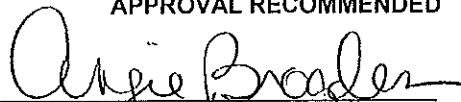
do not and will not have further official use or value for administrative, research, or reference purposes after the respective retention periods specified herein. The N.C. Department of Cultural Resources consents to the destruction or other disposition of these records in accordance with the retention and disposition instructions specified in this schedule. However, records subject to audit or those legally required for ongoing official proceedings must be retained until released from such audits or official proceedings, notwithstanding the instructions of this schedule.

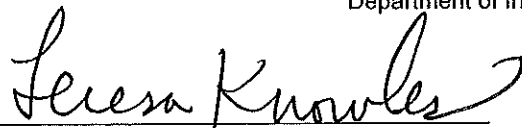
The Department of Insurance and the Department of Cultural Resources agree that certain records series have minimal administrative, reference, or historical value. When the custodian of any official State records certifies to the Department of Cultural Resources that such records have no further use or value for official and administrative business and when the Department of Insurance certifies that such records appear to have no further use or value for research or reference, then such records may be destroyed or otherwise disposed of by the agency having custody of them. As part of its program operations the Department of Insurance agrees to establish and enforce internal policies. The policy will specify how long those records must be retained and when they must be destroyed. Public records including electronic records not listed in this schedule or in the *General Schedule for State Agency Records* are not authorized to be destroyed. The

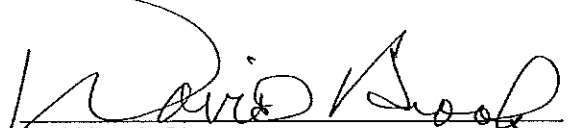
AGENT SERVICES DIVISION

agrees to destroy, transfer or dispose of records in the manner and at the times specified herein. This schedule is to remain in effect until superseded.

APPROVAL RECOMMENDED

  
Angie Brogden, Chief Records Officer  
Department of Insurance

  
Teresa Knowles, Assistant Deputy Commissioner  
Agent Services Division

  
David Brook, Director  
Division of Historical Resources

APPROVED

  
Wayne Goodwin, Commissioner and  
State Fire Marshal  
Department of Insurance

  
Linda A. Carlisle, Secretary  
Department of Cultural Resources

December 12, 2011

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DEPARTMENT OF INSURANCE  
PUBLIC SERVICES GROUP  
AGENT SERVICES DIVISION

**ITEM 49674. Applications/Transactions Received with Payments File.** Records received with payments. File includes requests received by the division which are accompanied by a statutory fee. The accompanying payment (e.g., check or money order) is scanned with the associated paper transactions in a daily batch file. (Comply with applicable provisions of 5 USC 552a regarding records maintained on individuals.) Data is entered into the Division's Licensee Database (Electronic) File (Item 31798) immediately upon receipt.

DISPOSITION INSTRUCTIONS: Retention of electronic version of e-mail records in this series is governed by G1 of the General Schedule for State Agency Records, which requires that e-mail be retained for 10 years pursuant to Executive Order No. 18 issued July 7, 2009 by Governor Beverly Perdue. Print electronic records and interfile with related paper records. Destroy in office electronic versions of records when reference value ends. Scan in office paper records. Destroy in office paper copies of scanned records after 5 days and when all quality control procedures have been completed. Destroy in office electronic records after 3 years if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

**ITEM 2294. Collection Agencies (Active) File.** Records concerning collection agencies regulated by the Department of Insurance. File includes initial and renewal applications, investigation reports, complaints, correspondence, examination reports, and other related records. Names and addresses of applicants, amounts received, license numbers, tradenames, dates of applications, business owners' names and addresses, telephone and facsimile numbers, and other related information are entered into Customer Information Control System (CICS) Database (Electronic) File (Item 31798) immediately upon receipt.

DISPOSITION INSTRUCTIONS: Item discontinued. Function and records transferred to Applications/Transactions Received with Payments, (Item 49674).

**ITEM 2295. Collection Agencies (Never Licensed) File.** Records in paper and electronic formats concerning companies never licensed by the Department of Insurance to become collection agencies. File includes initial applications, investigation reports, mail receipts, correspondence regarding the denial of becoming licensed, and other related records. (File maintenance and backup procedures are conducted by Information Technology Services (ITS) and National Association of Insurance Commissioners (NAIC).)

DISPOSITION INSTRUCTIONS: Item discontinued. Function and records transferred to Applications/Transactions Received with Payments, (Item 49674).

DEPARTMENT OF INSURANCE  
PUBLIC SERVICES GROUP  
AGENT SERVICES DIVISION

**ITEM 2296. Bail Bondsmen (Active) File.** Records in paper and electronic formats concerning active bail bondsmen. File includes new and renewal applications, investigation reports, correspondence regarding inquiries from the Internal Revenue Service and other governmental entities involving each licensee, complaints, questionnaires, bail bondsmen background records, and examination reports. For fingerprint cards see: Bail Bondsmen Fingerprint Cards File (Item 47579). (File maintenance and backup procedures are conducted by Information Technology Services (ITS) and National Association of Insurance Commissioners (NAIC).) (Comply with 5 U.S.C. 552a regarding confidentiality of social security numbers and with applicable provisions of G.S. 132-1.4 regarding confidentiality of investigative reports and criminal intelligence information compiled by public law enforcement agencies.)

DISPOSITION INSTRUCTIONS: Item discontinued. Function and records transferred to Applications/Transactions Received with Payments, (Item 49674).

**ITEM 2301. Premium Finance Annual Reports File.** Reports in paper and electronic formats concerning annual financial statements for premium finance companies. Reports include amounts of premiums financed, number of financial agreements, number of contracts cancelled, and amounts of services charged. Premium finance companies may submit data via electronic web. Data is then downloaded into an electronic spreadsheet report.

DISPOSITION INSTRUCTIONS: Destroy in office the annual spreadsheet summary report after 7 years. Destroy in office remaining paper and electronic records after 1 year.

**ITEM 3469. Licensee File.** Records in paper and electronic formats concerning the licensure of agents, brokers, limited representatives, adjustors, insurance business entities, motor clubs, premium finance companies, surety bondsmen, bail bond runners, and collection agencies previously qualified in North Carolina. File includes applications, exceptions, and other related records. Licensee names, addresses, Social Security numbers or permit number, license status, and other related data are entered into the Customer Information Control System (CICS) Database (Electronic) File (Item 31798), and updated routinely. (Comply with applicable provisions of 5 USC 552a regarding records maintained on individuals.) (File maintenance and backup procedures are conducted by Information Technology Services (ITS) and National Association of Insurance Commissioners (NAIC).)

DISPOSITION INSTRUCTIONS: Item discontinued. Function and records transferred to Applications/Transactions Received with Payments, (Item 49674).

DEPARTMENT OF INSURANCE  
PUBLIC SERVICES GROUP  
AGENT SERVICES DIVISION

**ITEM 3892. Bail Bond Appointment and Termination File.** Records in paper and electronic formats, including e-mail, concerning the appointment and termination of licenses for surety bondsmen. Licensees' names, addresses, license status, and other related data are entered into the Division's Licensee Database (Electronic) File (Item 31798), and updated routinely. File includes License Surrender Requests, in paper and electronic formats, including e-mail, that terminate the appointments and exception paper appointment. (Comply with applicable provisions of 5 USC 552a regarding records maintained on individuals.)

DISPOSITION INSTRUCTIONS: Retention of electronic version of e-mail records in this series is governed by G1 of the General Schedule for State Agency Records, which requires that e-mail be retained for 10 years pursuant to Executive Order No. 18 issued July 7, 2009 by Governor Beverly Perdue. Scan in office License Surrender Request paper records into Licensee Database (Electronic) File (Item 31798). Destroy in office paper copies of scanned records after 5 days and when all quality control procedures have been completed. Destroy remaining paper records in office after information is entered into Division's Licensee Database (Electronic) File (Item 31798). Destroy in office electronic records 7 years after license is cancelled and no regulatory action initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

**ITEM 11688. Surety Bondsmen (Active) File.** Records concerning surety bondsmen licensed by the Department of Insurance. File includes initial applications, background investigation reports, complaints, examination reports, correspondence from insurance companies regarding licensees, powers of attorney confirmations, and other related records. Names and addresses of applicants, dates of applications, names of insurance agencies that employ surety bondsmen, telephone and facsimile numbers, and other related information are entered into Surety Bondsmen Database (Electronic) File (Item 38545) immediately upon receipt. (Comply with applicable provisions of G.S. 132-1.4 regarding confidentiality of investigative reports and criminal intelligence information compiled by public law enforcement agencies.)

DISPOSITION INSTRUCTIONS: Item discontinued. Function and records transferred to Applications/Transactions Received with Payments, (Item 49674).

**ITEM 11689. Surety Bondsmen (Never Licensed) File.** Records in paper and electronic formats concerning individuals applying to become surety bondsmen but never licensed. File includes applications, background investigation reports, complaints, examination reports, correspondence regarding the denial (withdrawal) of becoming licensed, and other related records. (File maintenance and backup procedures are conducted by Information Technology Services (ITS) and National Association of Insurance Commissioners (NAIC).) (Comply with applicable provisions of G.S. 132-1.4 regarding confidentiality of investigation reports and criminal intelligence information compiled by public law enforcement agencies.)

DISPOSITION INSTRUCTIONS: Item discontinued. Function and records transferred to Licensee File (Item 3649).

DEPARTMENT OF INSURANCE  
PUBLIC SERVICES GROUP  
AGENT SERVICES DIVISION

**ITEM 11854. Annual Renewal File.** Records in paper and electronic formats concerning the renewal of the licenses of resident and non-resident brokers, adjusters, appraisers, corporations, partnerships and limited insurance licenses, Agent names, addresses, license status, and other related Data are entered into the Customer Information Control System (CICS) Database (Electronic) File (Item 31798), and updated routinely. (File maintenance and backup procedures are conducted by Information Technology Services (ITS) and National Association of Insurance Commissioners (NAIC).)

DISPOSITION INSTRUCTIONS: Item discontinued. Function and records transferred to Applications/Transactions Received with Payments, (Item 49674).

**ITEM 11857. -Bonds File.** Bonds required by statute for brokers, collection agencies, premium finance companies, motor club companies and public adjusters.

DISPOSITION INSTRUCTIONS: Destroy in office 7 years after bond or license cancels.

**ITEM 18543. State Examination Results (Electronic) File.** Electronic records concerning state examination results of insurance agents, bail bondsmen and adjusters held by the examination vendor on contract with Agent Services Division. File includes applications, results, reports of individual test administrations, and other related records. (File maintenance and backup procedures are conducted by National Association of Insurance Commissioners (NAIC).)

DISPOSITION INSTRUCTIONS: Destroy in office after 7 years if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy after completion of action and resolution of issues involved. Transfer test results to Division's Licensee Database (Electronic) File (Item 31798) within 3 days of examination.

**ITEM 18550. Duplicate License Requests File.** Record forms in paper and electronic formats of requests for duplicate licenses. File may include an agency individual, collection agency, premium agency and other licenses. (File maintenance and backup procedures are conducted by Information Technology Services (ITS) and National Association of Insurance Commissioners (NAIC).)

DISPOSITION INSTRUCTIONS: Item discontinued. Function and records transferred to Licensee File (Item 3649).

DEPARTMENT OF INSURANCE  
PUBLIC SERVICES GROUP  
AGENT SERVICES DIVISION

**ITEM 31798. Division's Licensee Database (Electronic) File.** Electronic records concerning active, inactive and never licensed individuals and entities. Data is entered from paper applications, downloaded from applicant entries to electronic application services provide by National Association of Insurance Commissioner (NAIC). The Continuing Education Administrator contracted with Agent Services uploads continuing education compliance records and the examination vendor contracted with Agent Services uploads the test results data. (Comply with applicable provisions of 5 USC 552a regarding records maintained on individuals.) (File maintenance and backup procedures are conducted by National Association of Insurance Commissioners (NAIC).)

DISPOSITION INSTRUCTIONS: Retention of electronic version of e-mail records in this series is governed by G1 of the General Schedule for State Agency Records, which requires that e-mail be retained for 10 years pursuant to Executive Order No. 18 issued July 7, 2009 by Governor Beverly Perdue. Update in office routinely. Destroy in office 7 years after license is cancelled and if no regulatory action has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

**ITEM 31799. Licensee Regulatory File.** Records in paper and electronic formats concerning regulatory information affecting licensed agents, brokers, and adjusters. File includes information regarding license suspensions and revocations, information regarding fines, investigative reports, hearing notices, and other related records. Data concerning licensees' violations of insurance statutes are entered into the Division's Licensee Database (Electronic) File (Item 31798), and updated routinely. (Comply with applicable provisions of 5 USC 552a regarding records maintained on individuals.) (File maintenance and backup procedures are conducted by National Association of Insurance Commissioners (NAIC).)

DISPOSITION INSTRUCTIONS: Print electronic records and interfile with related paper records. Destroy in office electronic versions of records when reference value ends. Scan in office paper records. Destroy in office paper copies of scanned records after 5 days and when all quality control procedures have been completed. Destroy in remaining electronic records 7 years after cases are closed, if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

DEPARTMENT OF INSURANCE  
PUBLIC SERVICES GROUP  
AGENT SERVICES DIVISION

**ITEM 49789. Extreme Case Licensee Regulatory File.** Records in paper and electronic formats concerning cases or disputes that currently are or that with reasonable certainty, are deemed by the division's attorneys as "extreme" cases or disputes. A extreme case has at least one of the following characteristics: a statutory change results from the case or dispute; the state or federal constitution was changed or reinterpreted as a result of the case or dispute; a significant issue in the case was decided on its merits, not simply reviewed by the North Carolina courts; the controversy sustained state-wide or national interest for a prolonged period; or the result was an abrupt department from well established past policies or practices concerning matters of significant public interest.

DISPOSITION INSTRUCTIONS: Print electronic records and interfile with related paper records. Destroy in office electronic versions of records when reference value ends. Scan in office paper records. Destroy in office paper copies of scanned records after 5 days and when all quality control procedures have been completed. Destroy in office electronic records 25 years after case or dispute is closed.

**ITEM 38492. Motor Clubs (Inactive) File.** Records concerning inactive motor clubs formerly regulated by the Department of Insurance. File includes initial applications, policies, correspondence regarding the denial (withdrawal) of the licensing process, and other related records.

DISPOSITION INSTRUCTIONS: Item discontinued. Function and records transferred to Applications/Transactions Received with Payments, (Item 49674).

**ITEM 38493. Premium Finance Companies (Inactive) File.** Records concerning inactive premium finance companies formerly regulated by the Department of Insurance. File includes initial and renewal applications, investigation reports, correspondence regarding complaints, questionnaires, and other related records. (Records previously transferred to the State Records Center as Item 2300).

DISPOSITION INSTRUCTIONS: Item discontinued. Function and records transferred to Applications/Transactions Received with Payments, (Item 49674).

**ITEM 38536. Bail Bondsmen (Inactive) File.** Records in paper and electronic formats concerning inactive bail bondsmen. File includes initial applications, renewal applications, investigation reports, correspondence regarding inquiries from the Internal Revenue Service and other governmental entities involving each licensee, complaints, questionnaires, bail bondsmen background records, and examination reports. (Comply with applicable provisions of G.S. 132-1.4 regarding confidentiality of investigation reports and criminal intelligence information compiled by public law enforcement agencies.)

DISPOSITION INSTRUCTIONS: Transfer paper records to the State Records Center after 3 year(s). Records will be held for agency in the State Records Center 7 additional years and then destroyed. Destroy electronic records in office 10 years after date of record.

DEPARTMENT OF INSURANCE  
PUBLIC SERVICES GROUP  
AGENT SERVICES DIVISION

**ITEM 38538. Bail Bond Runners (Inactive) File.** Records concerning bail bond runners formerly employed by bail bondsmen. File includes initial applications, renewal applications, investigation reports, correspondence, complaints, questionnaires, and bail bond runners background investigation reports. (Records previously transferred to the State Records Center as Item 2297). (Comply with applicable provisions of G.S. 132-1.4 regarding confidentiality of investigative reports and criminal intelligence information compiled by public law enforcement agencies.)

DISPOSITION INSTRUCTIONS: Item discontinued. Function and records transferred to Applications/Transactions Received with Payments, (Item 49674).

**ITEM 38540. Collection Agencies (Inactive) File.** Records concerning inactive collection agencies formerly regulated by the Department of Insurance. File includes initial and renewal applications, investigation reports, complaints, correspondence, examination reports, and other related records.

DISPOSITION INSTRUCTIONS: Item discontinued. Function and records transferred to Applications/Transactions Received with Payments, (Item 49674).

**ITEM 38542. Motor Clubs (Never Licensed) File.** Records in paper and electronic formats concerning motor clubs never licensed by the department. File includes initial applications, investigation reports, mail receipts, correspondence regarding the denial (withdrawal) of becoming licensed, and other related records. (File maintenance and backup procedures are conducted by Information Technology Services (ITS) and National Association of Insurance Commissioners (NAIC).)

DISPOSITION INSTRUCTIONS: Item discontinued. Function and records transferred to Applications/Transactions Received with Payments, (Item 49674).

**ITEM 38544. Premium Finance Companies (Never Licensed) File.** Records in paper and electronic formats concerning companies applying to become premium finance companies but never licensed. File includes initial applications, investigation reports, mail receipts, correspondence regarding the denial of being licensed, and other related records. (Comply with applicable provisions of G.S. 132-1.4 regarding confidentiality of investigation reports and criminal intelligence information compiled by public law enforcement agencies.) (File maintenance and backup procedures are conducted by Information Technology Services (ITS) and National Association of Insurance Commissioners (NAIC).)

DISPOSITION INSTRUCTIONS: Item discontinued. Function and records transferred to Applications/Transactions Received with Payments, (Item 49674).



DEPARTMENT OF INSURANCE  
PUBLIC SERVICES GROUP  
AGENT SERVICES DIVISION

**ITEM 38546. Surety Bondsmen (Inactive) File.** Records concerning inactive surety bondsmen formerly licensed by the Department of Insurance. File includes initial applications, background investigation reports, complaints, examination reports, correspondence from insurance companies regarding licensees, powers of attorney confirmations, and other related records. (Records previously transferred to the State Records Center as Item 11688.) (Comply with applicable provisions of G.S. 132-1.4 regarding confidentiality of investigative reports and criminal intelligence information compiled by public law enforcement agencies.)

DISPOSITION INSTRUCTIONS: Item discontinued. Function and records transferred to Applications/Transactions Received with Payments, (Item 49674).

**ITEM 47579. Bail Bondsmen Fingerprint Cards File.** Fingerprint cards of licensees required as background check prior to issuance of license. (Comply with applicable provisions of G.S. 132-1.4 regarding confidentiality of investigation reports and criminal intelligence information compiled by public law enforcement agencies.)

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

**ITEM 47580. Professional Bail Bondsmen Monthly Reports (Electronic) File.** Electronic monthly reports showing all bonds the bondsmen are responsible for as of the first of each month as required by G.S. 58-71-165. Data is entered into spreadsheet report.

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year.

**ITEM 49565. Bail Bondsmen, Insurance Agent, Public Adjuster and Key Person of Public Adjuster Business Entity- State Bureau of Investigation Fingerprint Release Forms File.** Paper release forms required by State Bureau of Investigation before fingerprints will be taken by local law enforcement in NC for license applicants: surety bail bondsmen, professional bail bondsmen, runner, public adjusters, insurance agents and key persons of public business entities.

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year.

**ITEM 49566. Continuing Education Records (Electronic) File.** The Continuing Education (CE) Administrator maintains records of the insurance Continuing Education (CE) records of approved and denied CE courses, CE providers and agent and adjuster CE transcripts. (Vendor transfers the CE results to Division's Licensee Database (Electronic) File (Item 31798) daily.)

DISPOSITION INSTRUCTIONS: Destroy in office 10 years after license is cancelled and no regulatory action initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

**DEPARTMENT OF INSURANCE  
PUBLIC SERVICES GROUP  
AGENT SERVICES DIVISION**

**ITEM 49567. Accounts Receivables Forms/Reports File.** Records in paper and electronic formats, including e-mail concerning License registration fees, license fees, license renewal fees and continuing education fees for transactions received in the Division for processing and transmittal reports from third party vendors which are contracted with Agent Services Division for specific administrative functions and under such contract collect the statutory fees. Clerical accounting generates back-up documentation for posting, depositing, insufficient funds payments, refunds, returned checks and voluntary settlement agreements.

**DISPOSITION INSTRUCTIONS:** Retention of electronic version of e-mail records in this series is governed by G1 of the General Schedule for State Agency Records, which requires that e-mail be retained for 10 years pursuant to Executive Order No. 18 issued July 7, 2009 by Governor Beverly Perdue. Destroy in office remaining paper and electronic records after 3 fiscal years if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.